



In The United States Patent and Trademark Office

3628\$
#4aw
10-10-03

Serial Number: 10/080,855
Applicants: Kenneth Hu
Filing Date: 02/22/2002
Title: Method of Evaluating Security Trading Capacity

Examiner: M. Gones
Group Art Unit: 3628
Docket No.: USP1264A-KH2

Date: October 21, 2003

Submission Insufficient Filing Fee

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In response to the a communication from the Patent Office regarding Informality Regarding Payment of Fee, the applicant respectfully submits herewith a check in the amount of \$42.00 for the additional claims submitted on July 25, 2002.

The Commissioner is hereby authorized to charge or credit any overpayment to the following deposit account: Account Name: David and Raymond Patent Firm; Account No.: 502111.

Please accept these payments and continue the prosecution of the application. Thank you for your assistance.

Respectfully submitted,

Raymond Y. Chan
Reg. Nr.: 37,484
c/o 108 N. Ynez Ave., Suite 128
Tel.: (626)571-9812
Fax: (626)571-9813

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Certification of Mailing

I certify that this correspondence will be deposited with the United States Postal Service as first class mail with proper postage affixed in an envelope addressed to: "Commissioner of Patents, Alexandria, VA 22313-1450," on the date below.

Mail Date: October 21, 2003

Signature:
Person Signing: Raymond Y. Chan



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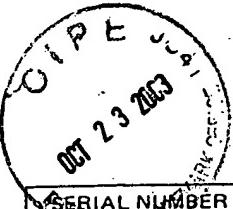
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Alexandria, Virginia 22313-1450
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/080,855	02/22/2002	Kenneth Hu	USP1264A-KH2	9736
7590	10/14/2003		EXAMINER	
RAYMOND Y. CHAN 1050 OAKDALE LANE ARCADIA, CA 91006			NGUYEN, NGA B	
			ART UNIT	PAPER NUMBER
			3628	

DATE MAILED: 10/14/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SERIAL NUMBER <i>7725102</i>	FILING DATE <i>OCT 23 2003</i>	FIRST NAMED APPLICANT <i>[Redacted]</i>	ATTORNEY DOCKET NO. <i>[Redacted]</i>
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EXAMINER <i>[Redacted]</i>	
ART UNIT <i>[Redacted]</i>	PAPER NUMBER <i>[Redacted]</i>

DATE MAILED:

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The informality regarding the payment of the fee in connection with the original filing fee the amendment filed 7725102 is indicated below.

A. FEE DUE

1. The amendment is considered incomplete in that the funds in Deposit Account No. _____ are insufficient to cover the entire fee due. The balance is due within the period set below.
2. The amendment is considered an incomplete response, in that payment of \$ _____ is insufficient to cover the claims as shown in the attached Patent Application Fee Determination Record. Remittance is due within the period set below.
3. The amendment has not been entered, since applicant has failed to remit (or authorize charge to a Deposit Account) the fee as indicated on the attached Patent Application Fee Determination Record. Remittance or authorization is due within the period set below.
4. The filing fee of \$ _____ submitted in this application is insufficient.

A balance of \$ \$ 42.00 is due for additional claims.

5.

APPLICANT IS GIVEN THE REMAINDER OF THE SET PERIOD FOR RESPONSE,
OR ONE (1) MONTH FROM THE DATE OF THIS LETTER, WHICHEVER IS LONGER,
WITHIN WHICH TO REMIT THE FEE OF \$ \$ 42.00

B. EXCESS PAYMENT:

5. It is noted that payment of \$ _____ is in excess of the amount necessary to cover the claims now in the application. See the attached Patent Application Fee Determination Record.

This matter of refund or credit to your account is being referred to the Finance Officer, for his consideration.

M. Jones
CLERK OF GROUP

OCT 23 2003

PATENT APPLICATION FEE DETERMINATION RECORD

Effective October 1, 2001

RECEIVED

Application or Docket Number

USP 1264A-KH2

CLAIMS AS FILED - PART I

(Column 1)

GPO

OCT 30 2003

TOTAL CLAIMS	NUMBER FILED	NUMBER EXTRA	SMALL ENTITY		OTHER THAN SMALL ENTITY	
			TYPE	RATE	FEE	RATE
FOR				OR	BASIC FEE	740.00
TOTAL CHARGEABLE CLAIMS	54 minus 20 =	34	X\$ 9 =	306	OR	X\$18 =
INDEPENDENT CLAIMS	3 minus 3 =		X42 =		OR	X84 =
MULTIPLE DEPENDENT CLAIM PRESENT			+140 =		OR	+280 =
			TOTAL	676	OR	TOTAL

* If the difference in column 1 is less than zero, enter "0" in column 2.

CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	SMALL ENTITY		OTHER THAN SMALL ENTITY	
					RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
Total	* 56	Minus	** 54	= 2	X\$ 9 =	18	X\$18 =	
Independent	* 4	Minus	*** 3	= 1	X42 =	42	X84 =	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM								
					TOTAL ADDIT. FEE	42	TOTAL ADDIT. FEE	

(Column 1)

(Column 2)

(Column 3)

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	SMALL ENTITY		OTHER THAN SMALL ENTITY	
					RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
Total	* Minus	**	=		X\$ 9 =		X\$18 =	
Independent	* Minus	***	=		X42 =		X84 =	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM								
					TOTAL ADDIT. FEE	42	TOTAL ADDIT. FEE	

(Column 1)

(Column 2)

(Column 3)

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	SMALL ENTITY		OTHER THAN SMALL ENTITY	
					RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
Total	* Minus	**	=		X\$ 9 =		X\$18 =	
Independent	* Minus	***	=		X42 =		X84 =	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM								
					TOTAL ADDIT. FEE	42	TOTAL ADDIT. FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.